

## ROLES FOR THE PROJECT OFFICE ORGANIZATION

The following describes Project Office organization, roles, and responsibilities recommended to support a system through its life cycle. The life cycle includes system initiation, planning, implementation, maintenance, and operation. The organizational structure presumes the Project Office hires a prime contractor for system development and/or maintenance and operation. Two organizations are defined, one for Initiation, Planning, Design, Development and Implementation, and the other for Maintenance and Operation where:

- “Initiation and Planning” means the phases and activities leading to the contract award and signing of the contract. Activities include initiation, planning, requirements definition, preparation of the RFP, and evaluation of bidder proposals.
- “Design, Development and Implementation (DDI)” refers to the phase when the contract is awarded and the selected contractor designs, develops, integrates, tests and installs the system. The phase ends when the State accepts the system per the contract. Generally, two levels of involvement in managing the development phase: “Development Oversight” where the contractor is developing the system based on State-defined requirements and the State is primarily evaluating the prime contractor’s work products and processes, and serving as a liaison between the prime contractor and the customer; and “Co-Development” or “Government/Contractor Teams” where the State provides the same contractor oversight but also participates with the prime contractor in the design and implementation of the new system.
- “Maintenance and Operations (M&O)” refers to the activities occurring after the first version of the system (as defined by the requirements in the RFP and contract) is delivered and accepted. Other enhancements and fixes to the system may still be in progress. The approach described in this document assumes that at least part of the maintenance will be out-sourced to a contractor. Thus the project’s primary role in this phase is that of oversight of the prime contractor and serving as a liaison between the prime contractor and the customer.

The DDI and M&O phases may occur concurrently. This may be due to a phased implementation, or due to enhancements, legislative changes, and changing technology after the system is delivered. For large changes, a separate DDI team within the M&O organization may be appropriate.

Allocation of personnel to a role or function depends on the size and complexity of the project (i.e.: one person may serve multiple roles or multiple people may be required for a single role). The project manager will decide the level of staffing as well as the State classifications required for each function. Also, as each phase ends and a new phase begins, staffing needs will change. It is recommended that new staff be brought on prior to phase startup to allow for knowledge transfer and familiarization.

Each project will need to customize the organization based on their needs and the applicability of the role. For example, if there is no existing system(s), there would be no need for a Data Conversion Manager.

“Prime Contractor” is used for the remainder of this document to refer to the prime contractor and its subcontractors hired to develop, maintain, or operate the IT system being procured by the Project Office.

“Project Consultant” is a contractor hired to assist the Project Office. A Project Consultant may fill any of the positions not specifically marked as “a State position”. State employees are required in positions that supervise other State employees or have fiscal responsibilities. If a State employee is not available for a State position, the Project Manager may hire a consultant for the non-managerial elements of the position and assign managerial elements to another State position.

The role of the **Project Sponsor** is not defined below because the level of involvement tends to vary from project to project. For some projects, the Project Sponsor is an active member of the project management team (generally focusing on communications between stakeholders). In other projects, the Project Sponsor is solely responsible for activities with external organizations and approvals.

## **ROLES AND RESPONSIBILITIES FOR PRE-AWARD AND DDI**

### **Project Management Team**

#### **Project Manager (A State position)**

- Develop and coordinate the Project Charter
- Direct and coordinate customer and stakeholder communications
  - ⇒ Participate as member of Department Executive Staff
  - ⇒ Communicate with the Legislature and Federal Government
- Direct management staff and project activities
  - ⇒ Direct project planning activities
  - ⇒ Oversee project office organization and staffing
  - ⇒ Oversee project tracking and metrics tracking
  - ⇒ Oversee and participate in risk management
  - ⇒ Oversee and participate in issue resolution
  - ⇒ Monitor IV&V effort
- Negotiate prime contract
- Approve and accept work products
  - ⇒ Provide final approval for all project work products
  - ⇒ Provide final acceptance for all project consultant and prime contractor deliverables
  - ⇒ Accept final responsibility for all project outcomes
- Participate in change control board decisions
- Develop contingency plans

#### **Assistant Project Manager**

- Assist Project Manager
- Manage the development and maintenance of project planning documentation
- Direct and coordinate internal project activities
  - ⇒ Direct project planning
  - ⇒ Direct project office organization and staffing
  - ⇒ Direct project tracking and metrics tracking
  - ⇒ Coordinate problem identification and resolution activities between prime contractor, customer, and project staff
  - ⇒ Direct and participate in risk management and contingency planning
  - ⇒ Direct Quality Assurance
- Prepare Project Management Reports
- Prepare reports for legislature
- Prepare periodic status reports
- Respond to special requests from Federal and State control agencies
- Attend planning and management meetings

- Review work products
  - ⇒ Provide final review for all project work products before Project Manager approves
  - ⇒ Provide final review for all project consultant and prime contractor deliverables before Project Manager accepts

#### Executive Assistant (A State position)

- Provide secretarial support
- Answer and direct phone calls
- Schedule and maintain Project Manager(s) calendars
- Maintain status reporting schedules to assure project reporting obligations are met
- Prepare draft correspondence for Project Manager
- Prepare presentations

### System Architect

The System Architect should be part of the management staff, but should not be assigned any personnel management duties.

- Ensure the technical and business solution addresses the problem
- Provide final recommendation for technical decisions
- Serve as chief technical advisor to the Project Manager
- Analyze existing and proposed systems
- Define system concept
- Define system quality attributes (capacity, availability, maintainability, etc.)
- Develop validation strategy for requirements and system
- Verify requirements feasibility from business and technical perspective
- Verify design feasibility from business and technical perspective
- Monitor system engineering activities
- Provide technical expertise during procurement
- Analyze legislation for technical impacts
- Participate in change control board

### Administration

#### Chief Administrative Officer (A State position)

- Manage all administrative and office support activities
- Exercise project approval authority for all contracts except prime contract
- Manage Financial/Contract Management staff
- Manage project IT Support staff
- Coordinate requests for administrative services
- Advise Project Manager on personnel issues and regulations
- Support labor relations activities

## Administrative Support

### Project Planner/Scheduler

- Build and maintain project schedule
- Track progress against project schedule
- Track progress of prime contractor against schedule
- Produce appropriate schedule and resource progress reports

### Business Services Officer

- Manage facilities (including floor plan, supplies, furniture, phones and equipment), equipment inventory and requests for services
- Manage check-out/-in of project equipment (laptops, cell phones, projectors, pagers, etc.)
- Manage physical security
- Administer business services (copiers, pagers, printers, fax machines, projectors, etc.)
- Provide health and safety, and emergency activity coordination

### Human Resources Support Officer (A State position)

- Manage personnel transactions and attendance
- Manage travel and training transactions
- Support organizational design activities
- Support recruitment of new staff
- Maintain appropriate personnel records (for State, user and consultant staff assigned to project)

### Project Librarian

- Manage and maintain project library and associated records
- Manage and maintain all project documents
- Develop and maintain document retention and destruction records
- Audit library contents and records
- Dispose/transfer records at completion of project (with Configuration Manager)

### Configuration Manager

- Prepare project office Configuration Management Plan
- Control configured items
- Conduct change control boards
- Report status of configuration items
- Backup and archive configuration records
- Dispose/transfer records at completion of project (with Project Librarian)
- Monitor prime contractor configuration management activities
- Monitor user configuration management activities, if appropriate
- Monitor project office hardware, software and desktop inventory and configuration

## Deliverable Monitor

- Receive and log deliverables from project consultant contracts
- Track deliverables through the review process
- Coordinate notification and resolution of deliverable deficiencies

## Financial/Contract Management

### Chief Financial Officer (A State position)

- Monitor all project budgets and financial matters
- Prepare and coordinate InterAgency Agreements and Memorandums of Understanding
- Exercise signature authority for all contracts except prime contract
  - The Prime Contract requires Project Manager or Prime Contract Manager signature
- Manage Financial/Contract Management staff
- Monitor project budgeting and expenditure tracking
- Monitor cost allocations
- Coordinate claiming process and procedures, if applicable
- Review county planning documents
- Manage development of project approval documents
  - ⇒ Direct and coordinate inputs from contributing authors
  - ⇒ Serve as chief editor of documents
  - ⇒ Coordinate reviews and updates of documents
  - ⇒ Perform final edit before approval
  - ⇒ Coordinate document approval
- Assist in RFP preparation and proposal evaluations
- Coordinate resolution of fiscal issues

### Financial Analyst(s) (A State position)

- Prepare county/customer billings
- Conduct county claiming process and procedures, if applicable
- Perform project budgeting and expenditure tracking, including periodic expenditure projections
- Assist with the preparation of all Project approval documents (e.g. Feasibility Study Reports, Special Project Reports, Advance Planning Documents, Budget Change Proposals)
- Track all expenditures

### Consultant Contract Manager (A State position)

- Oversees all contracts, except the Prime Contract
- Prepare project consultant contracts and project consultant contract amendments
- Perform administrative and contractual oversight of consultants
- Coordinate and track work authorizations for consultant contract change orders
- Review and approve consultant contract deliverables
- Process and audit project consultant invoices, including ensuring schedules, budgets, performance and products are consistent with the contract

## Project Information Technology (IT) Support

### IT Manager (A State position)

- Manage all project IT support staff
- Ensure project IT infrastructure supports the project's computing requirements
- Research new technology and business solutions
- Ensure project's network security is appropriate for the information being managed

### Help Desk Staff

- Provide first-level customer support for project IT infrastructure
- Resolve problems in the project IT infrastructure
- Install, maintain, and upgrade desktop computers and servers
- Install, maintain, and upgrade project office application software
- Support peripheral equipment including printers, laptops, and projectors

### Network Administrator(s)

- Administer project's Local Area Network (LAN)
- Provide second-level support for the project's network services
- Provide remote access to network for authorized individuals
- Administer appropriate network security

### Project Toolset Developer/Maintainer(s)

- Develop and maintain project tools
- Develop and maintain tool design documentation
- Develop and maintain user documentation and training materials
- Provide second-level support for project tools and automation needs
- Manage the project tool change request list

### Webmaster(s)

- Develop and maintain project internet and intranet sites
- Monitor web site performance
- Maintain appropriate web site security

## Office Support

- Provide clerical/secretarial support
- Maintain conference room calendars, distribution lists, etc.
- Make travel arrangements
- Manage incoming/outgoing mail
- Monitor and escort project guests within the workplace.

## Procurement

### RFP Manager

- Prepare and maintain procurement schedule and work plans
- Serve as single point of contact for bidders
- Manage RFP development
  - ⇒ Direct and coordinate inputs from contributing authors
  - ⇒ Serve as chief editor of RFP
  - ⇒ Coordinate reviews and updates of RFP
  - ⇒ Perform final edit before approval
  - ⇒ Coordinate RFP approval
- Coordinate contract negotiations and preparation
- Manage evaluation of proposals and selection of vendor

### Prime Contract Manager<sup>1</sup>

- Perform administrative and contractual oversight of prime contract
- Prepare prime contract amendments and work authorizations
- Coordinate review and approval of prime contract deliverables
- Coordinate review and approval of prime contract amendments
- Process and audit prime contract invoices, including ensuring schedules, budgets, performance and products are consistent with the contract

## System Engineering

### System Engineering Manager

- Prepare technical portions of RFP
- Prepare Proposal Evaluation Plan
- Manage system engineering staff
- Manage Requirements Management staff
- Manage Quality Assurance staff
- Participate in change control board decision making

## Requirements Engineering

### Requirements Manager

- Define system and interface requirements
  - ⇒ Prepare technical portion of Feasibility Study Report
  - ⇒ Prepare System Requirements Specification
  - ⇒ Support development of RFP
- Evaluate proposals
- Evaluate prime contractor requirements analysis
- Establish and maintain requirements management database (content)

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<sup>1</sup> Position exists after contract award; usually the RFP Manager transitions to this position

- Manage requirements changes
  - ⇒ Assess impact of proposed changes
  - ⇒ Participate in configuration control board
  - ⇒ Verify changes are completely implemented
- Trace requirements through prime contractor work products

### Interface Manager

- Define interface requirements (with Subject Matter Experts/Users)
- Document interface requirements in the System Requirement Specification
- Assess impact of proposed changes to interfaces
- Review and approve internal interface design specifications
- Coordinate external interface definitions with external organizations
- Monitor prime contractor coordination with external agencies for testing of external interfaces
- Ensure operational requirements of external interfaces are met
- Participate in change control board

### Subject Matter Experts/User Representatives

- Define system requirements (with Requirements Mgr)
- Define interface requirements (with Interface Mgr)

## Quality Assurance

### Quality Assurance Manager/Auditor

- Manage action item tracking and resolution
- Coordinate activities between QA and IV&V
- Manage Process and Product QA staff
- Direct development of Process and Product Quality Assurance Plans
- Enforce project processes and standards

### Process QA

#### Process Auditor(s)

- Prepare and execute Process Quality Assurance Plan
- Audit adherence to project office organization standards
- Audit prime contractor quality assurance activities
- Audit prime contractor processes for compliance with contract and requirements

### Process Improvement Manager

- Document and maintain project processes and standards
- Manage project process improvement efforts



## Metrics Manager

- Collect and analyze project metrics
- Review prime contractor metrics
- Report trends and status of metrics to project management team

## Product QA

### *Verification*

#### System Engineers

- Prepare and execute Product Quality Assurance Plan (with Validation staff)
- Provide technical expertise and perspective to reviews and product evaluations
- Evaluate prime contractor work products for compliance with contract and system requirements
- Produce product evaluation reports
- Participate in milestone reviews
- Produce milestone review reports
- Conduct studies and analysis as needed to substantiate requirements, design, implementation, or testing

#### Subject Matter Experts/User Representatives

- Provide special expertise and perspective to reviews and product evaluations in such areas as business/program areas, LAN/WAN management/support, database administration, security administration, etc.

### *Validation - Test and Evaluation*

#### Test Manager

- Plan master test strategy
- Validate prime contractor's test plans
- Monitor prime contractor's unit, software, and system integration tests
- Evaluate prime contractor's test reports
- Monitor prime contractor's problem reporting and resolution process
- Participate in system qualification tests (with Test Engineers and Subject Matter Experts/Users)
- Manage State's problem reporting and resolution process
- Assist with preparation of the Product Quality Assurance Plan

#### Test Engineers

- Develop business case test scenarios
- Participate in application integration and system testing
- Plan and participate in user acceptance testing
- Verify all document and report modifications using representative user data
- Evaluate user documentation during testing
- Evaluate prime contractor test procedures, scenarios and data sets
- Evaluate prime contractor test reports

## Implementation

### Implementation Manager

- Define implementation requirements for RFP
- Evaluate all implementation proposals
- Evaluate the prime contractor's Implementation Plan
- Prepare and manage the State's work plan in support of the Implementation Plan
- Coordinate Implementation Plans with other projects doing similar work at the same time
- Direct resources required for Implementation Plan execution
- Plan and coordinate customer communication
- Coordinate focus groups to evaluate project direction

### Business Process Coordinator

- Develop business process requirements
- Monitor or conduct business process re-engineering
- Assist with system training and implementation

### Conversion Manager

- Monitor or manage effort to convert data from legacy system to new system
- Prepare Data Conversion Plan or evaluate prime contractor's Data Conversion Plan

### Infrastructure Coordinator

- Coordinate infrastructure readiness at production and central sites
- Resolve infrastructure issues during system installation and testing

### Training Manager

- Develop training requirements
- Prepare Training Plan or evaluate prime contractor's Training Plan
- Manage user training activities
- Serve as liaison with counties on training issues
- Maintain training manuals and materials
- Evaluate user documentation

### Operations Manager

- Monitor prime contractor management of operations
- Monitor resolution of operations support problems
- Manage staff providing direct support to users

### User Oversight Manager

- Coordinate communication between the implementation team and the users
- Capture user concerns/questions and relay them to appropriate team for resolution/response

## **External Support**

### **Program/Customer Organization Representative**

- Provide business and program policy expertise
- Ensure the business needs of the program are represented
- Ensure M&O activities comply with program policies
- Evaluate system changes for compliance with program policies
- Analyze legislation for business/program impacts

### **State Legal Counsel (A State position)**

- Review non-technical sections of RFP
- Ensure RFP content is legally sound
- Advise on contract amendments and work authorizations
- Advise on contracting questions
- Advise State and project consultant staff on conflict of interest issues
- Advise State staff on discovery issues and communication documents (i.e., e-mail retention)

### **Private Legal Counsel**

- Review RFP prior to release
- Provide expertise on industry trends and contracting issues
- Advise on contract amendments and work authorizations
- Advise on contracting questions

### **DGS Representative**

- Prepare administrative sections of RFP
- Provide expertise on State contract issues and standard clauses
- Act as primary point of contact for communications with bidders, if project is not delegated

## **Independent Verification and Validation (IV&V)**

- Provide independent perspective for reviews, meetings and evaluations
- Prepare status reports mandated by DOIT
- Monitor project activities
- Evaluate prime contractor's proposals for technical feasibility
- Evaluate prime contractor's work products for correctness and completeness
- Monitor prime contractor's test program
- Validate adequacy and appropriateness of test procedures
- Verify requirements traceability

## **Executive Customer Liaison**

- Assist in Stakeholder communication and issue resolution
- Represent user interests to project
- Communicate high-level project goals to users
- Participate in planning and management meetings

## **Other Stakeholders**

- Department of Information Technology (DOIT)
- Department of Finance (DOF)
- Department of Finance/ Technology Investment Review Unit (DOF/TIRU)
- California Health and Human Services (CHHS) Agency
- Federal Agencies
- Customer (Department of Health Services (DHS), California Department of Social Services (CDSS), Department of Child Support Services (DCSS), etc.)
- Legislature
- Advocates and Advisory Groups
- Other County Organizations (California District Attorneys Association (CDAA), California Welfare Directors Association (CWDA), etc.)

## **ADDITIONAL ROLES AND FUNCTIONS FOR MAINTENANCE AND OPERATIONS**

### **Applications Support**

#### **Application Support Manager**

- Monitor M&O contractor performance of application support
- Ensure M&O contractor maintains quality control and configuration management
- Monitor reports and documentation
- Monitor application design sessions and walkthroughs
- Manage application change management process
- Manage State analysis of requested application changes
- Manage acceptance testing of application changes

#### **System Engineers and Subject Matter Experts/User Representatives**

- Analyze change requests for impacts
- Assist in preparation of change analysis package
- Recommend priority of changes
- Schedule application resources
- Schedule and facilitate application design sessions and walkthroughs
- Participate in application design sessions

- Design user document formats
- Design user screen displays
- Ensure M&O contractor adheres to appropriate standards

## Software Engineers

- Analyze software change requests for impacts
- Assist in preparation of change analysis package
- Recommend priority of changes
- Design and implement software changes
- Update affected documentation
- Install and maintain production software

## Hardware Engineers

- Analyze hardware change requests for impacts
- Assist in preparation of change analysis package
- Recommend priority of changes
- Design and implement hardware changes
- Update affected documentation

## Database Engineers

- Analyze database change requests for impacts
- Assist in preparation of change analysis package
- Recommend priority of changes
- Design and implement database changes
- Update affected documentation

## Network Engineers

- Analyze network change requests for impacts
- Assist in preparation of change analysis package
- Recommend priority of changes
- Design and implement network changes
- Update affected documentation

## Customer Services

### Customer Services Manager

- Manage user training and communication areas
- Monitor M&O contractor customer services
- Coordinate customer service issues with state and county users
- Manage customer communications
- Perform customer service tasks

## Customer Communications

- Coordinate customer communications for consistency and accuracy
- Publish system newsletter
- Publish bulletins for specialized user groups
- Respond to external requests for information
- Develop document dissemination system

## User Training Manager

(See Training Manager above)

## Customer Support

- Monitor M&O contractor problem report metrics
- Monitor M&O contractor support for problem resolution
- Monitor M&O contractor monitoring of service levels and metrics
- Provide customer perspective and problem prioritization
- Monitor M&O contractor logging and tracking of problem calls
- Ensure problem resolution is coordinated with M&O functional units
- Assist customers with requests for ad hoc reports
- Maintain library of ad hoc reports
- Generate queries and reports for customers

## Customer Support Manager

- Monitor help desk
- Manage the information center
- Manage service representatives

## **Operations**

### Operations Manager

- (See above)

## Production Control

### Production Control Manager

- Monitor M&O contractor production control procedures
- Coordinate M&O contractor production control with State production control
- Monitor M&O contractor tracking of resource usage
- Monitor M&O contractor software distribution
- Monitor M&O contractor process for job scheduling and execution
- Monitor M&O contractor management of production control
- Monitor M&O contractor key data entry of raw data
- Coordinate day-to-day production control operation

## System Administrator

- Monitor M&O contractor provision of backup and recovery services
- Coordinate and provide support to county system administrators
- Ensure M&O contractor provision of anti-virus protection
- Monitor M&O contractor's backup and recovery plans and procedures
- Coordinate disaster recovery plans and activities
- Coordinate communications between user system administrators
- Administer project email, web and list servers

## Security Administrator

- Monitor M&O contractor physical security
- Monitor system security procedures
- Monitor M&O contractor security audits and reporting of violations
- Review M&O contractor deliverables for compliance with security laws and regulations
- Disseminate security procedures and policies
- Investigate security violations involving project resource
- Provide technical assistance in maintaining a secure environment

## Change Manager

- Monitor M&O contractor maintenance of change request database
- Coordinate change management issues with customer and counties
- Monitor M&O contractor performance of change management
- Manage the change management process
- Coordinate processing of change requests
- Coordinate and participate in change reviews and requirements analysis
- Prepare change analysis package
- Coordinate approval of change analysis package
- Provide information to customers on change requests
- Provide administrative support to change control board
- Monitor M&O contractor tracking and reporting of change request metrics
- Develop management reports
- Coordinate county requests for (physical asset) Moves/Add/Changes

## Data Technician

- Input data
- Verify data integrity
- Resolve data problems

## Technical Support

### Technical Support Manager

- Coordinate day-to-day problem resolution
- Manage technical support staff

## Data Technician

- Input data
- Verify data integrity
- Resolve data problems